



S/N 09/945,535

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Kie Y. Ahn et al. Examiner: Colleen E Rodgers  
Serial No.: 09/945,535 Group Art Unit: 2813  
Filed: August 30, 2001 Docket: 1303.026US1  
Title: HIGHLY RELIABLE AMORPHOUS HIGH-K GATE OXIDE ZrO<sub>2</sub>

---

**INFORMATION DISCLOSURE STATEMENT**

MS RCE  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

In compliance with the duty imposed by 37 C.F.R. § 1.56, and in accordance with 37 C.F.R. §§ 1.97 *et. seq.*, the enclosed materials are brought to the attention of the Examiner for consideration in connection with the above-identified patent application. Applicants respectfully request that this Information Disclosure Statement be entered and the documents listed on the attached Form 1449 be considered by the Examiner and made of record. Pursuant to the provisions of MPEP 609, Applicants request that a copy of the 1449 form, initialed as being considered by the Examiner, be returned to the Applicants with the next official communication.

Pursuant to 37 C.F.R. §1.97(b), it is believed that no fee or statement is required with the Information Disclosure Statement. However, the Commissioner is hereby authorized to charge the required fees to Deposit Account No. 19-0743 in order to have this Information Disclosure Statement considered.

INFORMATION DISCLOSURE STATEMENT

Serial No :09/945,535

Filing Date: August 30, 2001

Title: HIGHLY RELIABLE AMORPHOUS HIGH-K GATE OXIDE ZrO<sub>2</sub>

Page 2  
Dkt: 1303.026US1

Pursuant to 37 C.F.R. 1.98(a)(2), Applicant believes that copies of cited U.S. Patents and Published Applications, and Non-Published Applications identifiable by USPTO Serial Number, are no longer required to be provided to the Office. Notification of this change to this effect was provided in the United States Patent and Trademark Office OG Notices dated October 12, 2004 and October 19, 2004. Thus, Applicant has not included copies of any US Patents or US Patent Applications identifiable by serial number that may be cited with this submission. Should the Office require copies to be provided, Applicant respectfully requests that notice of such requirement be directed to Applicant's below-signed representative. Applicant acknowledges the requirement to submit copies of foreign patent documents and non-patent literature in accordance with 37 C.F.R. 1.98(a)(2).

The Examiner is invited to contact the Applicants' Representative at the below-listed telephone number if there are any questions regarding this communication.

Respectfully submitted,

KIE Y. AHN ET AL.

By their Representatives,

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.  
P.O. Box 2938  
Minneapolis, MN 55402  
(508) 865-8211

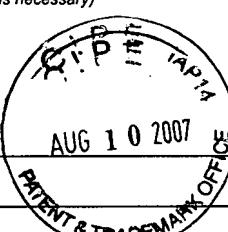
Date 8/8/07

By David Suhl  
David Suhl  
Reg. No. 43,169

CERTIFICATE UNDER 37 CFR 1.8: The undersigned hereby certifies that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail, in an envelope addressed to: MS RCE, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 8 day of August 2007.

USA Patent 500  
Name

Lia Resordele  
Signature

Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>		<b>Complete if Known</b> <b>Application Number</b> 09/945,535 <b>Filing Date</b> August 30, 2001 <b>First Named Inventor</b> Ahn, Kie <b>Group Art Unit</b> 2813 <b>Examiner Name</b> Rodgers, Colleen	
Sheet 1 of 3 		Attorney Docket No: 1303.026US1	

**US PATENT DOCUMENTS**

Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Filing Date If Appropriate
	US-7,205,620	04/17/2007	Ahn, K. Y., et al.	06/09/2004
	US-7,208,804	04/24/2007	Ahn, K. Y., et al.	08/31/2004
	US-7,235,854	06/26/2007	Ahn, K. Y., et al.	02/27/2004
	US-7,259,434	08/21/2007	Ahn, K. Y., et al.	08/31/2004

**OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.  T <sup>2</sup>
		Application Serial No. 10-219870 (Atty Ref 1303.069US1) Non-final office action mailed 10-08-03, 14 pgs.
		Application Serial No. 10-219870 (Atty Ref 1303.069US1) Notice of allowance mailed 4-9-2004, 3 pgs
		Application Serial No. 10-219870 (Atty Ref 1303.069US1) Notice of allowance mailed 9-28-2004, 4 pgs
		Application Serial No. 10-219870 (Atty Ref 1303.069US1) Response filed 1-8-2004 to non-final office action mailed 10-8-2003, 20 pgs
		Application Serial No. 10-765619 (Atty Ref 1303.033US2) Amendment under 37 C.F.R. 1.312 filed 10-27-2005, 9 PGS
		Application Serial No. 10-863953 (Atty Ref 1303.031US2) Amendment under 37 C.F.R. 1.312 filed 2-6-2007, 7 PGS
		Application Serial No. 10-931364 (Atty Ref 1303.069US2) non-final office action mailed 6-30-2005, 10 pgs
		Application Serial No. 10-931364 (Atty Ref 1303.069US2) Notice of allowance mailed 11-3-2005, 4 pgs
		Application Serial No. 10-931364 (Atty Ref 1303.069US2) Response filed 9-30-2005 to non-final office action mailed 6-30-2005, 11 pgs
		Application Serial No. 11-031289 (Atty Ref 1303.069US3) non-final office action mailed 10-20-2006, 5 pgs
		Application Serial No. 11-031289 (Atty Ref 1303.069US3) Response filed 1-22-2007 to non-final office action mailed 10-20-2006, 13 pgs
		Final office action mailed 1-28-2003 in Serial No 09-944,981 (Atty Ref 1303.021US1), 9 pgs
		Final office action mailed 2-26-2003 in Serial No 10-052,983 (Atty Ref 1303.031US1), 14 pgs
		Final office action mailed 4-19-2005 in Serial No 10-765,619 (Atty Ref 1303.033US2), 14 pgs
		Final office action mailed 5-7-2003 in Serial No 09-944,981 (Atty Ref 1303.021US1), 11 pgs

**EXAMINER****DATE CONSIDERED**

Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>		<i>Complete if Known</i>	
		<b>Application Number</b>	09/945,535
		<b>Filing Date</b>	August 30, 2001
		<b>First Named Inventor</b>	Ahn, Kie
		<b>Group Art Unit</b>	2813
		<b>Examiner Name</b>	Rodgers, Colleen
Sheet 2 of 3		Attorney Docket No: 1303.026US1	

### OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Non-final office action mailed 10-20-2005 in Serial No 10-930,184 (Atty Ref 1303.021US2), 25 pgs	
		Non-final office action mailed 10-22-2002 in Serial No 10-052,983 (Atty Ref 1303.031US1), 18 pgs	
		Non-final office action mailed 3-18-2004 in Serial No 09-944,981 (Atty Ref 1303.021US1), 8 pgs	
		Non-final office action mailed 4-27-2006 in Serial No 10-863,953 (Atty Ref 1303.031US2), 32 pgs	
		Non-final office action mailed 5-22-2003 in Serial No 10-027,315 (Atty Ref 1303.033US1), 8 pgs	
		Non-final office action mailed 5-5-2006 in Serial No 10-930,184 (Atty Ref 1303.021US2), 11 pgs	
		Non-final office action mailed 8-12-2002 in Serial No 09-944,981 (Atty Ref 1303.021US1), 7 pgs	
		Non-final office action mailed 9-28-2005 in Serial No 10-768,597 (Atty Ref 1303.033US3), 20 pgs	
		Notice of allowance mailed 08-23-2004 in Serial No 10-027,315 (Atty Ref 1303.033US1), 8 pgs	
		Notice of allowance mailed 1-27-2006 in Serial No 10-768,597 (Atty Ref 1303.033US3), 8 pgs	
		Notice of allowance mailed 10-22-2003 in Serial No 10-027,315 (Atty Ref 1303.033US1), 9 pgs	
		Notice of allowance mailed 12-06-2006 in Serial No 10-930,184 (1303.021US2), 21 pgs	
		Non-Final Office Action mailed 12-10-2004 in Serial No 10-765,619 (Atty Ref 1303.033US2), 13 pgs	
		Notice of allowance mailed 2-25-2004 in Serial No 10-052983 (Atty Ref 1303.031US1), 5 pgs	
		Notice of allowance mailed 5-20-2003 in Serial No 10-052983 (Atty Ref 1303.031US1), 6 pgs	
		Notice of allowance mailed 7-14-2004 in Serial No 09-944,981 (Atty Ref 1303.021US1), 22 pgs	
		Notice of allowance mailed 8-5-2005 in Serial No 10-765,619 (Atty Ref 1303.033US2), 7 pgs	
		Notice of allowance mailed 9-23-2003 in Serial No 10-052983 (Atty Ref 1303.031US1), 7 pgs	
		Response filed 1-20-2006 to office action mailed 10-20-2005 in Serial No 10-930,184 (Atty Ref 1303.021US2), 20 pgs	
		Response filed 1-22-2003 to non-final office action mailed 10-22-2002 in Serial No 10-052,983 (Atty Ref 1303.031US1), 24 pgs	

EXAMINER

DATE CONSIDERED

Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>		<i>Complete if Known</i>	
		<b>Application Number</b>	09/945,535
		<b>Filing Date</b>	August 30, 2001
		<b>First Named Inventor</b>	Ahn, Kie
		<b>Group Art Unit</b>	2813
		<b>Examiner Name</b>	Rodgers, Colleen
Sheet 3 of 3		Attorney Docket No: 1303.026US1	

### OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Response filed 11-12-02 to final office action mailed 8-12-2002 in Serial No 09-944981 (Atty Ref 1303.021US1), 17 pgs.	
		Response filed 12-28-2005 to non-final office action mailed 9-28-2005 in Serial No 10-768,597 (Atty Ref 1303.033US3), 25	
		Response filed 2-22-2005 to non-final office action mailed 12-10-04 in Serial No 10-765,619 (Atty Ref 1303.033US2), 23 pgs	
		Response filed 4-2-2003 to final office action mailed 1-28-2003 in Serial No 09-944,981 (Atty Ref 1303.021US1), 11 pgs	
		Response filed 4-28-2003 to final office action mailed 2-26-2003 in Serial No 10-052,983 (Atty Ref 1303.031US1), 14 pgs	
		Response filed 6-18-2004 to office action mailed 3-18-2004 in Serial No 09-944,981 (Atty Ref 1303.021US1), 30 pgs	
		Response filed 6-20-2005 to final office action mailed 4-19-2005 in Serial No 10-765,619 (Atty Ref 1303.033US2), 17 pgs	
		Response filed 7-7-2003 to final office action mailed 5-7-2003 in Serial 09-944,981 (Atty Ref 1303.021US1), 13 pgs	
		Response filed 8-22-2003 to non-final office action mailed 5-22-03 in Serial No 10-027,315 (Atty Ref 1303.033US1), 22 pgs	
		Response filed 8-28-2006 to non-final office action mailed 4-27-2006 in Serial No 10-863,953 (Atty Ref 1303.031US2), 18 pgs	
		Response filed 9-5-2006 to office action mailed 5-5-2006 in Serial No 10-930,184 (Atty Ref 1303.021US2), 19 pgs	

---

**EXAMINER**
**DATE CONSIDERED**